

Attorney Docket No.: 02307Z-132710US

Client Reference No.: 2003-144-2

DECLARATION

As a below named inventor, I declare that:

My residence, post office address and citizenship are as stated below next to my name; I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural inventors are named below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **SILICON NITRIDE/SILICON CARBIDE NANO-NANO COMPOSITES** the specification of which _____ is attached hereto or X was filed on September 8, 2003 as Application No. 10/658,126 and was amended on _____ (if applicable).

I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56. I claim foreign priority benefits under Title 35, United States Code, Section 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Country	Application No.	Date of Filing	Priority Claimed Under 35 USC 119

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below:

Application No.	Filing Date
60/441,897	1/21/03

I claim the benefit under Title 35, United States Code, Section 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, Section 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, Section 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application No.	Date of Filing	Status



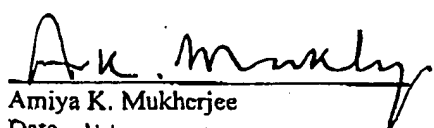
Full Name of Inventor 1:	Last Name: WAN	First Name: JULIN	Middle Name or Initial:	
Residence & Citizenship:	City: Schenectady	State/Foreign Country: New York	Country of Citizenship: Peoples Republic of China	
Post Office Address:	Post Office Address: 2150 Rosa Road, Apt. B1A	City: Schenectady	State/Country: New York	Postal Code: 12309
Full Name of Inventor 2:	Last Name: GASCH	First Name: MATTHEW	Middle Name or Initial: J.	
Residence & Citizenship:	City: Sacramento	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 5565 Swadly Way	City: Sacramento	State/Country: California	Postal Code: 95835

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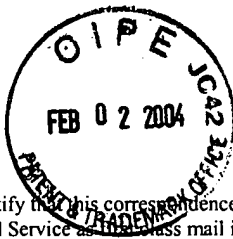
Client Reference No.: 2003-144-2

Full Name of Inventor 3:	Last Name: MUKHERJEE	First Name: AMIYA	Middle Name or Initial: K.	
Residence & Citizenship:	City: Davis	State/Foreign Country: California	Country of Citizenship: United States	
Post Office Address:	Post Office Address: 1123 Purdue Drive	City: Davis	State/Country: California	Postal Code: 95616

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature of Inventor 1  Julia Wan Date 1/2/2004	Signature of Inventor 2  Matthew J. Gasch Date 11-26-03	Signature of Inventor 3  Amiya K. Mukherjee Date 11/21/03
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I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

PATENT

Attorney Docket No.: 02307Z-

132710US

UC Case No. 2003-144-2

on

TOWNSEND and TOWNSEND and CREW LLP

By

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Julin Wan et al.

Application No.: 10/658,126

Filed: 9/8/03

For: SILICON NITRIDE/SILICON
CARBIDE NANO-NANO
COMPOSITES

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71**

Mail Stop Missing Parts
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints Kevin L. Bastian, Reg. No. 34,774; M. Henry Heines, Reg. No. 28,219; Laurence J. Hyman, Reg. No. 35,551; Jean M. Lockyer, Reg. No. 44,879; Jeffry S. Mann, Reg. No. 42,837; Annette S. Parent, Reg. No. 42,058; William M. Smith, Reg. No. 30,223; Joseph R. Snyder, Reg. No. 39,381; Eugenia Garrett-Wackowski, Reg. No. 37,330;

Ellen Lauver Weber, Reg. No. 32,762; Kenneth A. Weber, Reg. No. 31,677; all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with 37 CFR § 3.71.

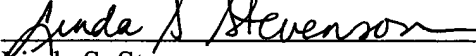
An assignment of the entire interest in the above-identified subject application:

- ☐ was recorded on _____ at reel/frame
_____/_____.
☒ is being concurrently submitted under separate cover for recording.

Please direct all telephone calls to M. Henry Heines and all correspondence relative to said application to the following address:

Townsend and Townsend and Crew LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834

ASSIGNEE: THE REGENTS OF THE
UNIVERSITY OF CALIFORNIA

Signature: 
Typed Name: Linda S. Stevenson
Title: Manager, Patent Prosecution
Office of Technology Transfer
1111 Franklin Street, 5th Floor
Oakland, CA 94607-5200

Dated: January 21, 2004

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Julin Wan, Matthew J. Gasch, and Amiya K. MukherjeeApplication No./Patent No.: 10/658,126Filed/Issue Date: September 8, 2003Entitled: SILICON NITRIDE/SILICON CARBIDE NANO-NANO COMPOSITESThe Regents of the University of California, a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is _____%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

January 21, 2004
Date

(510) 587-6000

Telephone number

Linda S. Stevenson

Typed or printed name

Linda S. Stevenson
Signature

Manager, Patent Prosecution

Title

TTC Attorney Docket No. 02307Z-132710USASSIGNMENTU.C. Case No. 2003-144-2

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Julin Wan2. Matthew J. Gasch3. Amiya K. Mukherjee

4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

SILICON NITRIDE/SILICON CARBIDE NANO-NANO COMPOSITES

and which is found in

- (a) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors
- (b) _____ U.S. patent application filed herewith and listing the above-named persons as inventors
- (c) X _____ U.S. application serial no. 10/658,126, filed on September 8, 2003
- (d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

2 day of Jan, 200426 day of Nov, 200321 day of Nov, 2003

____ day of _____, 20____

Signature of Inventor(s)

Julin WanMatthew J. GaschAmiya K. Mukherjee

COPY